# ENCROACHMENT SUBMISSION TRAINING HELP GUIDE

N.C. Department of Transportation

# Contents

## Overview

This guide provides basic instructions for the most common tasks applicants and reviewers will perform on the Connect NCDOT Encroachments website:

- Creating and submitting an encroachment
- Adding and updating document(s) in your submissions
- Creating notifications, alerts and filters

More detailed resources are available in the Encroachment Submission Help section of connectncdot.gov at https://connect.ncdot.gov/municipalities/Utilities/Pages/help.aspx.

## Applicant Role vs. Reviewer Role

The instructions in this manual apply to both the **Applicant role** and the **Reviewer role**.

The **Applicant role** is used by vendors and applicants to create an encroachment and monitor the status of past and current encroachments. ***All content on the applicant site can be viewed under the specific NCID***.

The **Reviewer role** is where NCDOT employees and District Engineers or other designated district employees make encroachment changes, edits and additions that applicants will see.

## Purpose

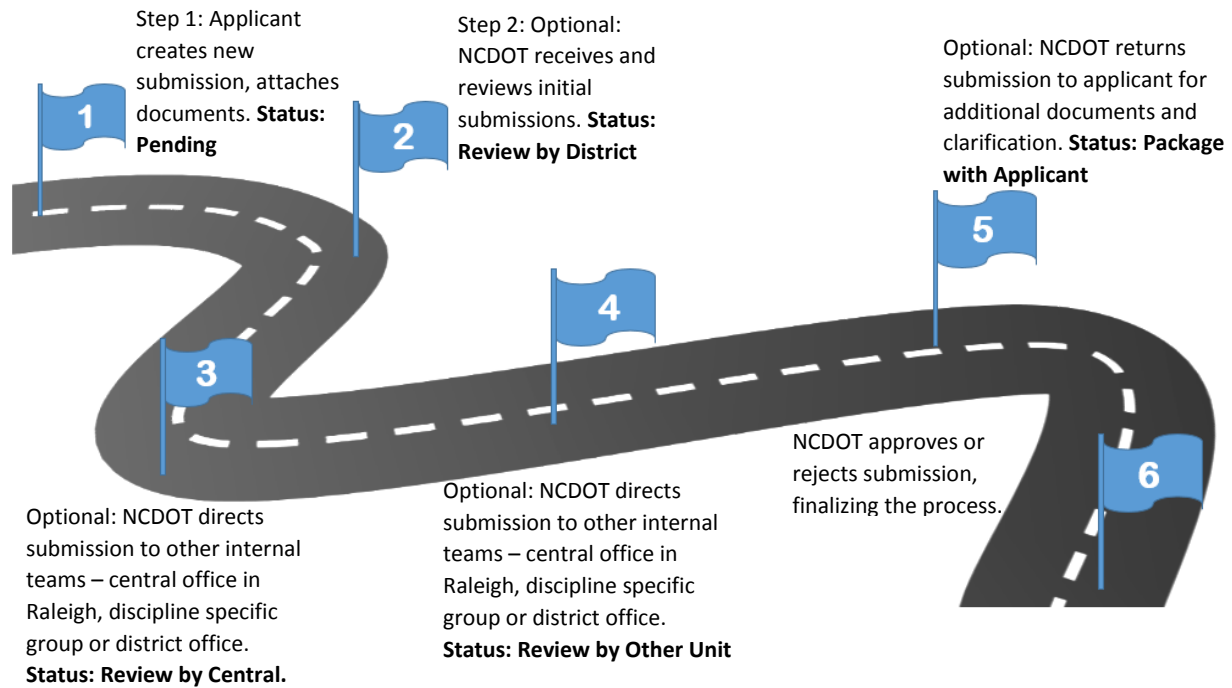The NCDOT Encroachment site was created for the following reasons:

- This electronic encroachment process is a solution to reduce review time and the number of revisions between applicants and NCDOT.
- Provides electronic submittal and exchange of encroachment documents.
- The ability to track encroachment submittals in your specific district.
- The applicant and NCDOT can review and monitor status at any time.
- Monitor the length of time that an encroachment is handled by each party.
- Increases consistency with statewide encroachment numbering system.
- Reduces hardcopies and paper waste.

## Process

When you need to generate an encroachment on the NCDOT website, you'll follow these basic steps (which are detailed in this manual):

- Log into the **Encroachment site**. https://connect.ncdot.gov/site/permits
- Create new encroachment (refer to the table of contents for basic types of edits).
- Attach necessary documents.
- Save and upload encroachment.
- Review email confirmation with specific number.
- Review status of encroachment on the Encroachment Dashboard.

## Workflow

Step 1: Applicant creates new submission, attaches documents. **Status: Pending**

Step 2: Optional: NCDOT receives and reviews initial submissions. **Status: Review by District**

Optional: NCDOT returns submission to applicant for additional documents and clarification. **Status: Package with Applicant**

Optional: NCDOT directs submission to other internal teams – central office in Raleigh, discipline specific group or district office. **Status: Review by Central.**

Optional: NCDOT directs submission to other internal teams – central office in Raleigh, discipline specific group or district office. **Status: Review by Other Unit**

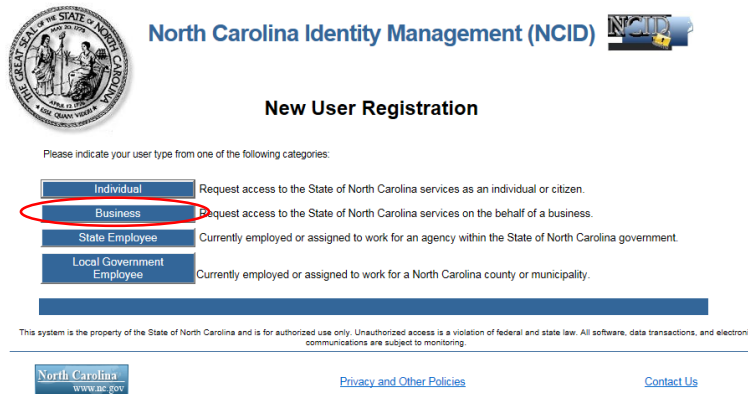NCDOT approves or rejects submission, finalizing the process.

**NOTE:** This workflow is an example of a typical process. It is possible for an encroachment to bypass all steps after Pending and go straight to Step 6: Approve, Reject, or Close.

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## Log in to Encroachment Site

**IMPORTANT: To get started with Online Encroachment Submissions, you'll need an NCID login and password.**

- Here's how to get one:

    1. Create your Business NCID here:   https://ncidp.nc.gov/ncidsspr/

    2. Make sure you select 'Business' as the type of NCID



**North Carolina Identity Management (NCID)**

**New User Registration**

Please indicate your user type from one of the following categories:
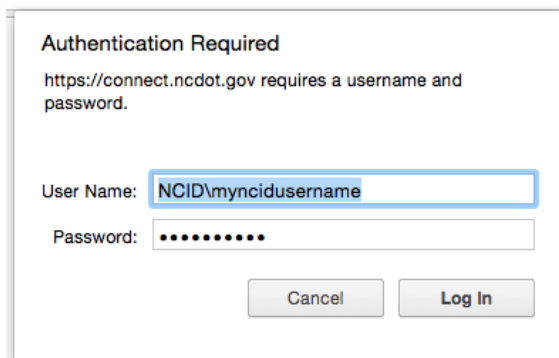
| | |
|---|---|
| Individual | Request access to the State of North Carolina services as an individual or citizen. |
| Business | Request access to the State of North Carolina services on the behalf of a business. |
| State Employee | Currently employed or assigned to work for an agency within the State of North Carolina government. |
| Local Government Employee | Currently employed or assigned to work for a North Carolina county or municipality. |

This system is the property of the State of North Carolina and is for authorized use only. Unauthorized access is a violation of federal and state law. All software, data transactions, and electronic communications are subject to monitoring.

North Carolina
www.nc.gov                    Privacy and Other Policies                    Contact Us

    3. Once you've created and verified your NCID (you'll receive an email asking you to do so), please email encr@ncdot.gov requesting access.

    4. You'll receive an email notification from NCDOT letting you know you have access to the site at https://connect.ncdot.gov/site/permits.

**Important!** When you sign in on Connect NCDOT, remember to type NCID\ before your username, like this:



**Authentication Required**

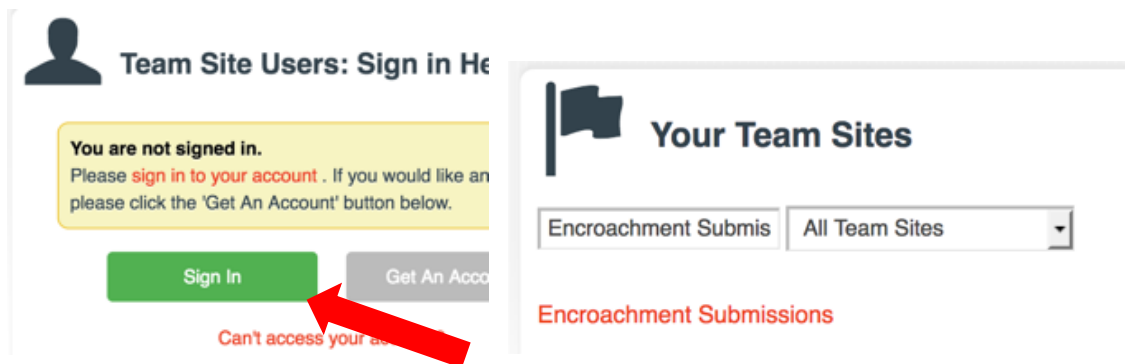https://connect.ncdot.gov requires a username and password.

| | |
|---|---|
| User Name: | NCID\myncidusername |
| Password: | •••••••• |

Cancel     Log In

There are 3 ways to access the Encroachments website:
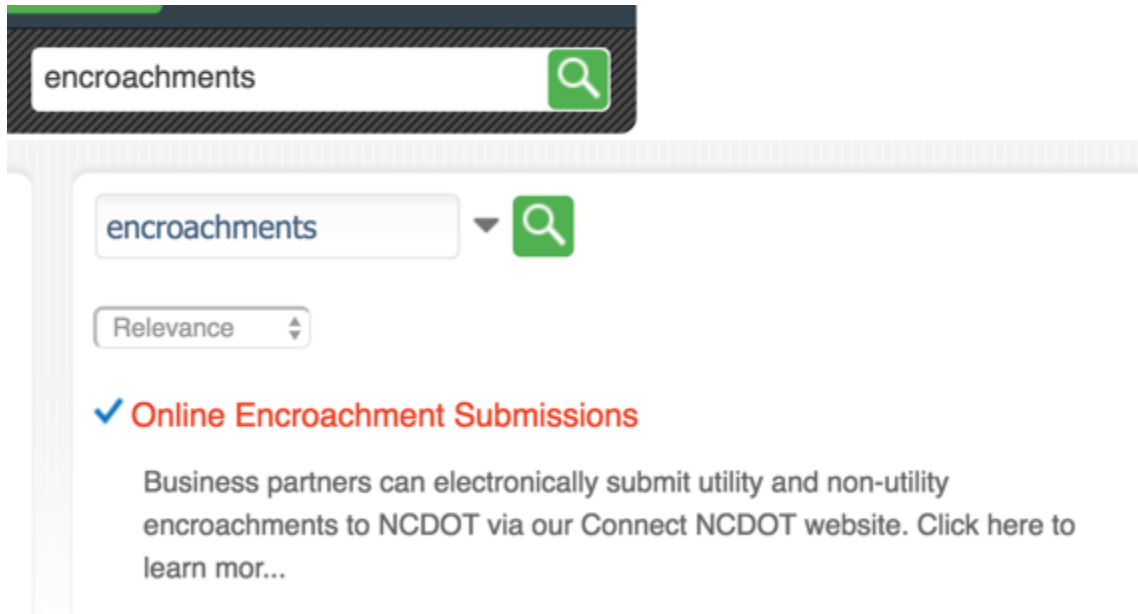
1. Go to https://connect.ncdot.gov
   Click Sign In and type **Encroachment** in search bar.

Team Site Users: Sign in He

You are not signed in.
Please sign in to your account . If you would like an
please click the 'Get An Account' button below.

Sign In          Get An Acco

Can't access your a

Your Team Sites

Encroachment Submis     All Team Sites

**Encroachment Submissions**

2. Go to the Utilities Encroachments page
   https://connect.ncdot.gov/municipalities/Utilities/Pages/Encroachment-Agreements.aspx
   Click Log in button.

Doing Business   Bidding & Letting   Projects   Resources   **Local Governments**

Bridge Reuse   Interagency Leadership   Local Projects   Planning   School Transportation   State Airport Aid   State Street-Aid   Utilities

**Encroachment Agreements for Utilities**
Overview, Explanation of Forms, Bonding

Connect NCDOT ▶ Local Governments ▶ Utilities ▶ Encroachment Agreements for Utilities

**Overview of Encroachment Process**

**Under Development**

Listing of the most critical special provisions.

Until they are published, please direct related questions to:

Byron Sanders, PE
919-707-6696
encr@ncdot.gov

**Encroachment Agreements**

When construction or utility installation is proposed within the limits of NCDOT right-of-way, an
encroachment agreement is required. Below is a list of NCDOT's encroachment agreements
along with descriptions of when and where they are applicable.

**Performance and Indemnity Bonds for Encroachments**

**Online Encroachment
Submissions**

Beta tester participants, log in here:

Log in

Get help with access and site usage:

Help

Employee Directory
Staff contacts for *Utilities Unit*.

3. Search from any Connect NCDOT page for **Encroachments**.
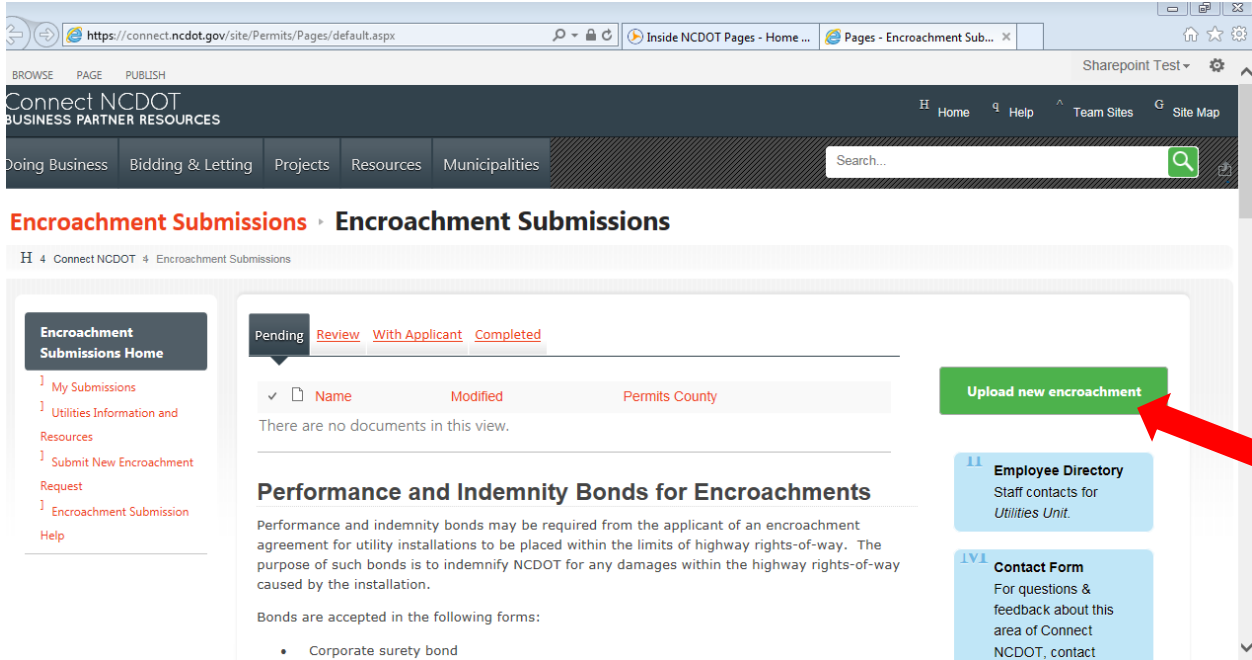
## Submit New Encroachment
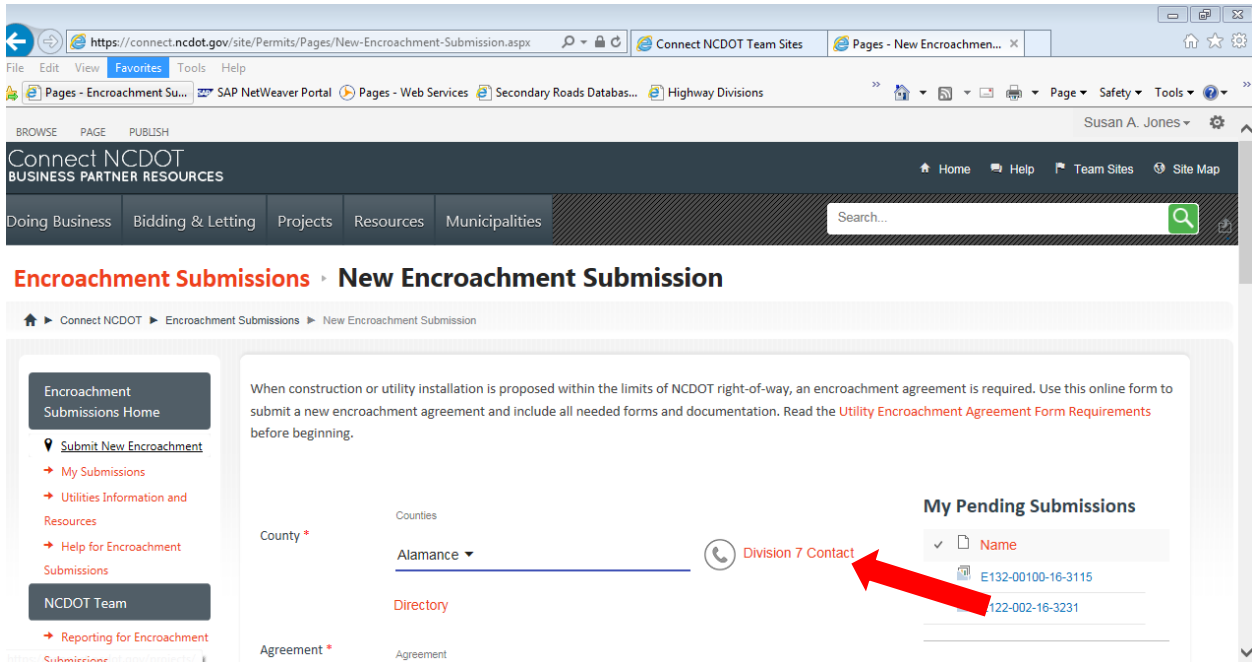
Once you have logged into the site successfully, you will enter the Encroachment Submissions dashboard. This is where you will upload new submissions, view recently submitted encroachments and review their status.  The left sidebar will also provide resources and help if more information is needed.

Click on Upload New Encroachment to begin new encroachment.
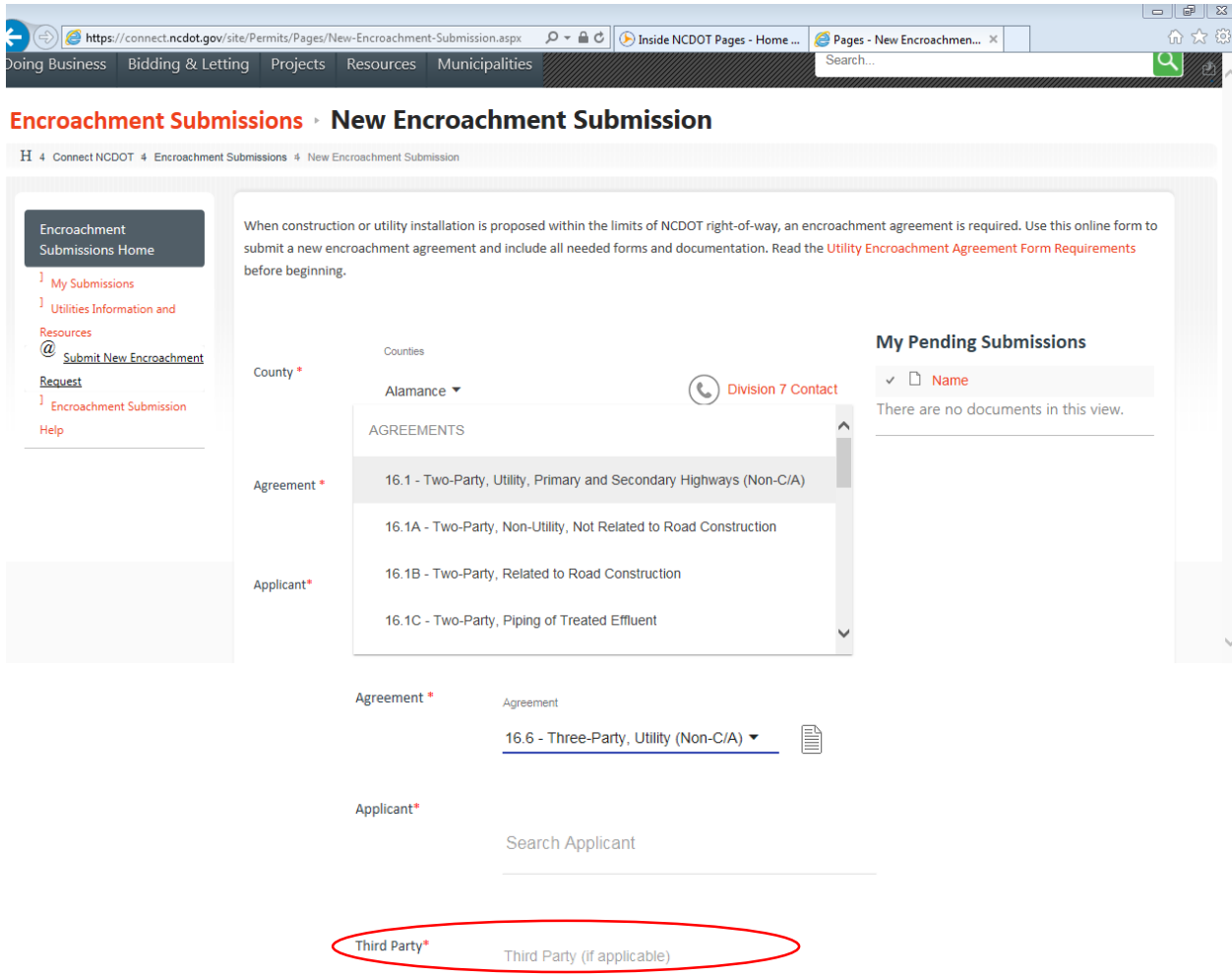


First, choose the county from the drop down list. Once the county is chosen, the NCDOT Directory for Highway Divisions appears if any questions or contacts need to be made.

Then choose the Agreement Type. The most frequently used types will be near the top.
**NOTE:** Whenever 16.6 or 16.6A (Three-Party Utility) is chosen, an additional field labeled, Third-Party, will be required to complete.
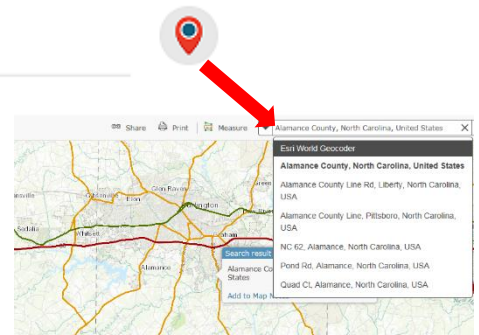


Type Route(s) in this section. You may add as many routes as needed in this field. The location button will open a map that will pinpoint and search for SR numbers.

An optional field is Local Road Name. This field is based on the county and route you selected. Multiple road names can be added, using a semicolon.

Local Road Name

Local Road Name

When you hover over the question mark, a paragraph will display an example of the location description.
https://connect.ncdot.gov/municipalities/Utilities/Lists/EncroachmentAgreements/Attachments/20/UtilityEncrAgrmtFormReqs_July2016.pdf
Please be as descriptive as possible in this field.

Location

❓

Example of a longitudinal installation location description:

Beginning approximately 700 feet west of the intersection of Ancroft Ave and SR 1171 (Riddle Rd)

south side of SR 1171 (Riddle Rd) for approximately 2600 feet, crossing SR 1171 (Riddle Rd) at SR 1945 (S Alston Ave) and

continuing east along the north side of SR 1171 (Riddle Rd) for approximately 1150 feet, crossing SR 1173 (Ellis Rd) and

continuing north along the east side of SR 1173 (Ellis Rd) for approximately 900 feet, and terminating at the intersection of SR

1173 (Ellis Rd) and SR 1940 (Glover Rd).

Contact Person

Susan A

The contact section will already be completed with the information you provided when registering for your NCID. The contact email can be edited to any email you choose.
**NOTE:** Please double-check that the email you add is imputed correctly.

Contact Person

Contact Person

Susan A. Jones

Contact Phone

Contact Phone

919-707-2376

Contact Email *

Contact Email

sajones10@ncdot.gov

This check box serves as signature authorization and proof that the person submitting is authorized to submit encroachments to NCDOT. Then click Attach Documents.

☐ By checking this box you are certifying that you are authorized by the second party on the attached encroachment agreement to submit encroachment requests on that party's behalf. You are also certifying that the individual who signed the attached encroachment agreement is authorized by the second party on that agreement to sign encroachment requests on that party's behalf.

**Attach Documents**     Cancel

## Attaching Documents to Encroachment

Attached documents must be added before the encroachment is officially submitted.  Pop-up box will request documents to be added by dragging into the red box or clicking the "+" to add documents using Windows Explorer. Once documents are submitted, click the "X" in the top right corner. Multiple documents can be added here. Files may also be submitted and modified throughout the process.
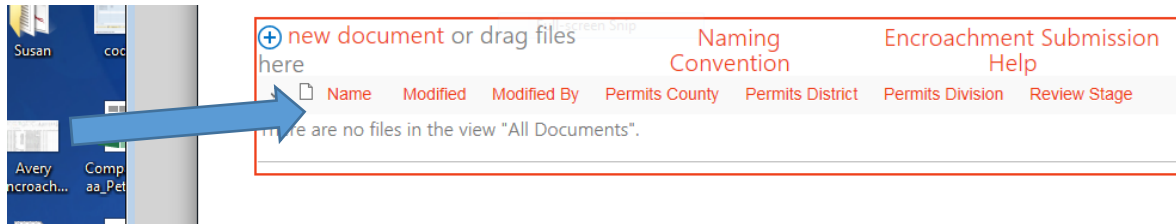


After documents have been submitted, you will receive an email confirmation to the email address provided.

Hello,

Your request has been received by the NCDOT.  It will be reviewed in a timely manner.  Please refer to our File Number  E071-001-16-1454 on future correspondence.  If additional information is required, you will receive a separate notification.

If you have any questions or need further assistance, please contact the Division 07 – District 1 office at (###)###-####.
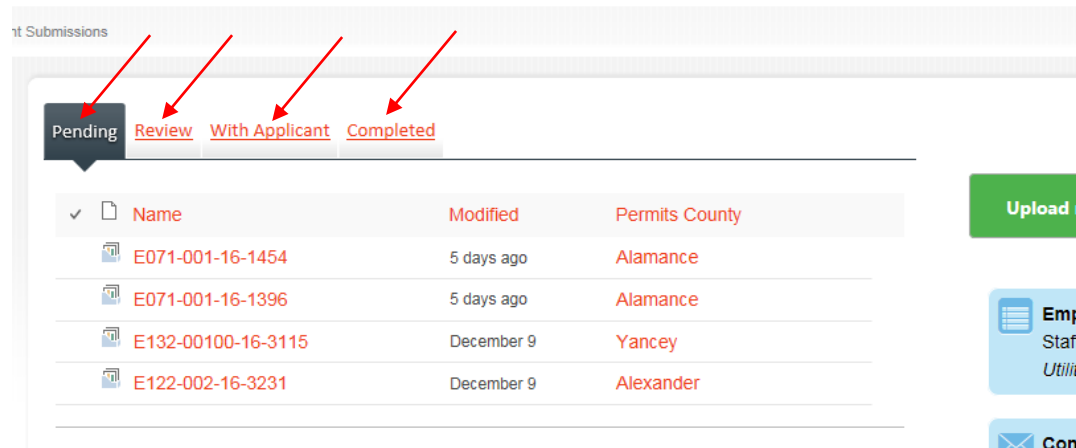
Thank you.

*Note that any encroachment review is intended for the general conformance with the policies and procedures concerning the protection of current and potential*

## Viewing Submitted documents on the Dashboard

Once an encroachment is submitted, return to the dashboard https://connect.ncdot.gov/site/permits to view your recent encroachments. Click on the tabs to view the status of the recent encroachments.
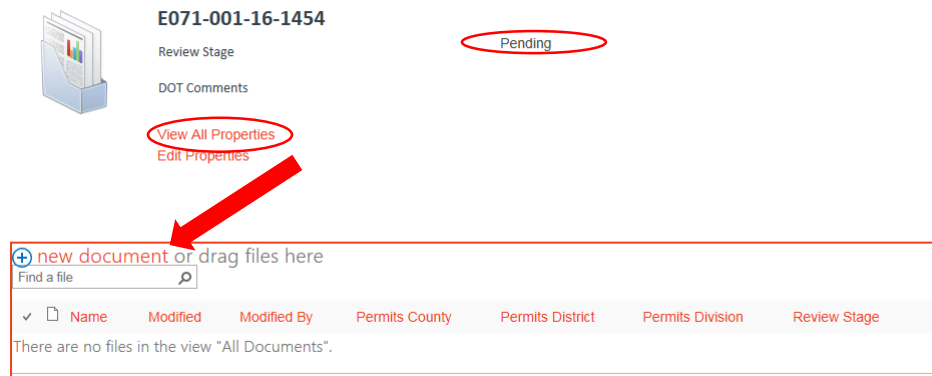


## Uploading Additional Documents after the Initial Submission

Click on the encroachment you choose. This page will show the status of the document and any correspondence received from NCDOT. Here you will see a red box to submit additional documents. Simply drag and drop to upload. After several documents are uploaded, use the search bar to locate them.

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## Viewing the Status of an Encroachment

To view the status, go to the Encroachment Dashboard and click on an encroachment. Click **View All Properties**. You will see a summary of the encroachment here, as well as any comments from the NCDOT Reviewers.

Content types that are available to this Document Set have been added or removed. Update the Document Set.

**E071-001-16-6220**

Review Stage     Review by District

DOT Comments     Hi, Thank you for your submission, we need more documents!

View All Properties
Edit Properties

**Encroachment Submission**

| | |
|---|---|
| Name | E103-004-16-4268 |
| Review Stage | Pending |
| Permits Division | 10 |
| Permits District | 3 |
| Permits County | Anson |
| Third Party | |
| Permits Location | road near Walgreens |
| Description | |
| Contact Person | Susan A. Jones |
| Contact Phone | 919-707-2376 |
| Contact Email | sajones10@ncdot.gov |
| Submittal Date | 12/20/2016 |
| Approval-Denial-Close Out Date | |
| Begin Construction | |
| Project Complete | |
| Final Inspection-Acceptance | |
| Bond Required | |
| Bond Posted | |
| Bond Amount | |
| Permits Comments | |
| WorkflowDate | 12/20/2016 |
| Agreement | 16.1 - Two-Party, Utility, Primary and Secondary Highways (Non-O/A) |
| Document ID | CONNECTSITE-1689226708-428 |
| DOT Comments | |
| Permits Route | SR-1143 |
| Authorized | Yes |
| Permits Applicant | Charlotte Mecklenburg Utilities Department |
| Local Road Name | |
| Contains TIP | Yes |
| TIP Number | |
| Approval Status | Pending |

Content Type: Permits Set
Version: 3.0
Created at 12/20/2016 12:40 PM by : Susan A. Jones
Last modified at 12/20/2016 12:40 PM by Workflow on behalf of : Susan A. Jones

## Changing the Status of an Encroachment

Once an encroachment has been submitted, it goes to the appropriate NCDOT office. The NCDOT Team will then send an email to the applicant and the correspondence is also within the Encroachment submission.

Under **View All Properties**, click **Edit Properties**.
The applicant will be able to edit and add comments. Any comments will be added to the document and previous comments will not be replaced.
**NOTE:** NCDOT reviewers can add comments and change the status in this area. Applicants cannot make changes to the status.

**Encroachment Submission**

Items on this list require content approval. Your submission will not appear in public views until approved by someone with proper rights. More information on content approval.

| | |
|---|---|
| Review Stage | Pending |
| Third Party | |
| Permits Location | road near Walgreens |
| Contact Person | Susan A. Jones |
| Contact Phone | 919-707-2376 |
| Contact Email | sajones10@ncdot.gov |
| Approval-Denial-Close Out Date | |
| Begin Construction | |
| Project Complete | |
| Final Inspection-Acceptance | |
| Bond Required | |
| Bond Posted | |
| Bond Amount | |
| Permits Comments | |
| DOT Comments | |
| Local Road Name | |
| Contains TIP | ☑ |
| TIP Number | |

Version: 3.0
Created at 12/20/2016 12:40 PM by : Susan A. Jones

Once NCDOT requires additional information, there will be a blue button labeled **Send Back to DOT** where additional documents and comments can be submitted.

Content types that are available to this Document Set have been added or removed.  Update the Document Set.

**E071-001-16-6220**

Review Stage       Package with Applicant

DOT Comments       Hi, Thank you for your submission, we need more documents!

View All Properties
Edit Properties

SEND BACK TO DOT

The status of the application changes with each review. Here are examples of the emails the applicant will receive at each review stage.

Pending

Hello,

Your request has been received by the NCDOT.  It will be reviewed in a timely manner.  Please refer to our File Number   E071-001-16-0629 on future correspondence.  If additional information is required, you will receive a separate notification.
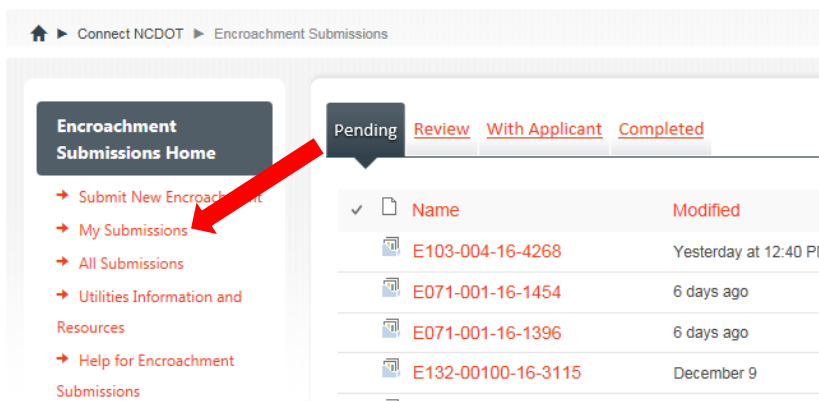
If you have any questions or need further assistance, please contact the Division 07 – District 1 office at (###)###-####.

Thank you.

Package with the Applicant

Hello,

Upon review of the submitted information for Encroachment Request number   E071-001-16-0629 we would need further information/revisions.   Below are comments to be addressed:

test

If you have any questions or need further assistance, please contact the Division 07 – District 1 office at (###)###-####.

Thank you.

Approved

Hello,

The plans and accompanying documents associated with Encroachment Request   E051-092-16-8102 are acceptable. Executed encroachment agreements, permitting letters, final plans and associated documents are accessible through the NCDOT Online Encroachment Application. This agreement and permitting documentation must be kept on site at all times and contains important provisions that will govern work. No work should be performed within NCDOT right of way without this documents on site. The District Office has the right to stop work if provisions are violated.

If you have any questions or need further assistance, please contact the Division 05 – District 1 office at (###)###-####.

Thank you.

## Viewing a Complete List of Your Submissions

Recent submissions are viewed on the Encroachment Dashboard. To view a list of your submissions, go to the left panel and click **My Submissions**.



The title **My Encroachment Submissions** is highlighted blue to indicate that filter is shown.
**NOTE:** For the applicant, all the submissions created under their NCID will be shown. For NCDOT Employees, all submissions assigned to them will be shown.

Hover over any of the red titles and an arrow will appear to the right of the label. Click the arrow and you can filter choices based on the title. You may also search using the search bar.



## Viewing a Complete List of All Submissions

To view all submissions, go to the Encroachment Dashboard. To view a list of all submissions, go to the left panel and click **All Submissions**.

The title **All Submissions** is highlighted blue to indicate that filter is shown.

**NOTE:** For the applicant, all the submissions created under their NCID will be shown. For NCDOT Employees, all submissions assigned to them will be shown.

Hover over any of the red titles and an arrow will appear to the right of the label. Click the arrow and you can filter choices based on the title. You may also search using the search bar.

## Email Alert Notification Configuration

An alert sends an email notification when changes are made to a page, list, item, library, file or folder.

**Settings on the Alert Page**

| OK | Cancel |

**Alert Title**

Enter the title for this alert. This is included in the subject of the notification sent for this alert.

Encroachment Submission

**Send Alerts To**

You can enter user names or e-mail addresses. Separate them with semicolons.

Users:

Ernesto Spirito x

**Delivery Method**

Specify how you want the alerts delivered.

Send me alerts by:

◉ E-mail    espirito@ncdot.gov
○ Text Message (SMS)
  ☐ Send URL in text message (SMS)

**Change Type**

Specify the type of changes that you want to be alerted to.

Only send me alerts when:

◉ All changes
○ New items are added
○ Existing items are modified
○ Items are deleted

**Send Alerts for These Changes**

Specify whether to filter alerts based on specific criteria. You may also restrict your alerts to only include items that show in a particular view.

Send me an alert when:

◉ Anything changes
○ Someone else changes a document
○ Someone else changes a document created by me
○ Someone else changes a document last modified by me
○ Someone changes an item that appears in the following view:
  Wake ▼

**When to Send Alerts**

Specify how frequently you want to be alerted. (mobile alert is only available for immediately send)

◉ Send notification immediately
○ Send a daily summary
○ Send a weekly summary

Time:

Thursday ▼   2:00 PM ▼

| OK | Cancel |

1. In the dialog box, enter an **Alert Title**.
2. The default **Delivery Method** is email. Text alerts are not enabled at NCDOT.
3. For folders, lists and libraries, select the **Change Type** to choose the events that you want to know about.
4. Select **Send Alert for These Changes** to further restrict the alerts you receive, such as any changes (documents, documents created by me, documents modified by me). Choose **Someone changes an item that appears in the following view** to only see changes in your county (Example: Wake).
5. Choose **When to Send Alerts** to schedule the timing of the alerts.

## Set an alert on a List or Library

1. Navigate to My Submissions or All Submissions List or Library.
2. On the ribbon, click the **List** or **Library** tab. In the **Share and Track** group, click **Alert Me**. Click **Set alert on this list** or **Set Alert on this Library**.
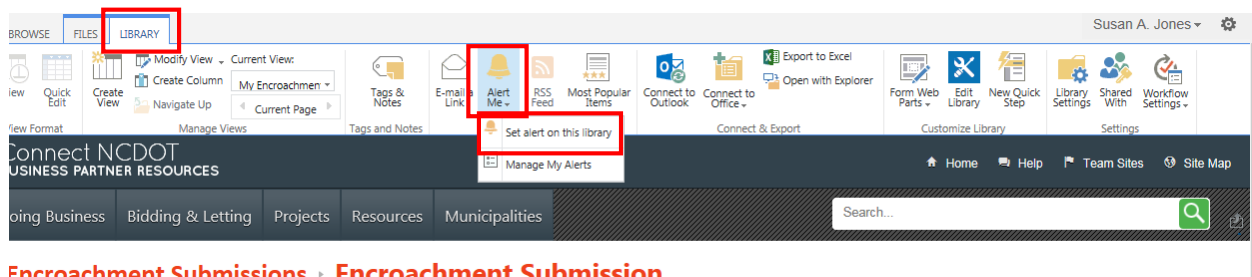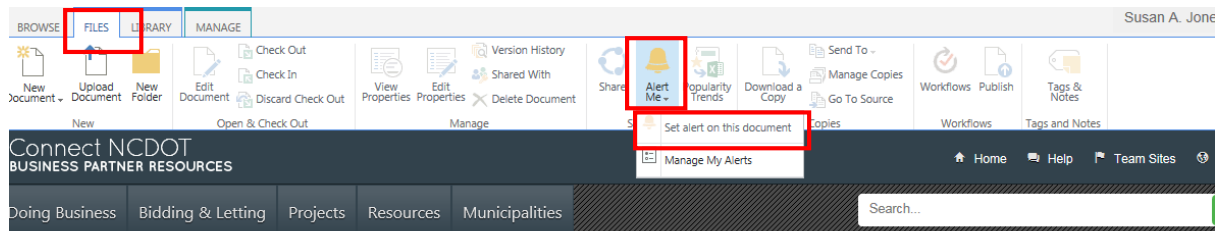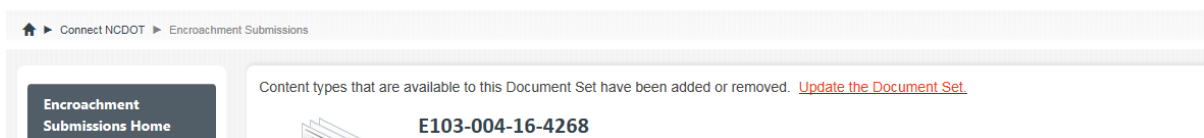


3. Define the details of the alert on the **New Alert** page as described in the Settings instructions on page 17 and click **OK**.

## Set an alert on an Item or a File

1. Navigate to My Submissions or All Submissions List or Library.
2. Select and item or file by clicking on its title or name.
3. On the ribbon, click the **Items** or **Files** tab. In the **Share and Track** group, click **Alert Me**. Click **Set alert on this list** or **Set Alert on this Document**.



4. Define the details of the alert on the **New Alert** page as described in the Settings instructions on page 17 and click **OK**.

## Setting Up View-Specific Email Alerts

For more specific alerts based on County, District and/or Division, please click the link:
https://connect.ncdot.gov/municipalities/Utilities/UtilitiesDocuments/Email-Alert-Configuration-for-Encroachment-submissions.pdf)

You may also find this document on the Connect NCDOT site under Help Guides
https://connect.ncdot.gov/municipalities/Utilities/Pages/help.aspx

**Help Guides**

Email Alert Configuration for
Encroachments                                    PDF

## Webinar on Encroachment Submission Process

The NCDOT Web Services Team created a webinar for District stakeholders and Applicants. This webinar reviews many of the instructions in this document, as well as answering questions. This webinar is also on the Help Section of the Encroachments website:

https://connect.ncdot.gov/municipalities/Utilities/Pages/help.aspx



https://www.youtube.com/watch?v=7TSZvToU8DU&feature=youtu.be